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<b>DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)</b>  <input type="checkbox"/> Declaration Submitted With Initial Filing      OR <input checked="" type="checkbox"/> Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)	Attorney Docket Number	270/096
	First Named Inventor	Hsu et al.
	<b>COMPLETE IF KNOWN</b>	
	Application Number	10/072,629
	Filing Date	February 8, 2002
	Group Art Unit	Unknown
	Examiner Name	Unknown

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**STRUCTURES THAT CORRECT FOR THERMAL DISTORTION IN AN OPTICAL  
DEVICE FORMED OF THERMALLY DISSIMILAR MATERIALS**

the specification of which (Title of the Invention)

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY) **February 8, 2002** as United States Application Number or PCT InternationalApplication Number **10/072,269** and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY) Country	Priority Not Claimed	Certified Copy Attached?	
NONE			<input type="checkbox"/>	YES <input type="checkbox"/>	NO <input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.
60/233,672 60/241,762	Sep. 19, 2000 Oct. 20, 2000	

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



## DECLARATION — Utility or Design Patent Application

Direct all correspondence to:		<input checked="" type="checkbox"/> Customer Number or Bar Code Label	22249	OR	<input type="checkbox"/> Correspondence address below
<b>Name</b> LYON & LYON LLP					
<b>Address</b> Suite 4700, 633 West Fifth Street					
<b>City</b> Los Angeles			<b>State</b> CA	<b>ZIP</b> 90071	
<b>Country</b> United States of America		<b>Telephone</b> 949-567-2300 OR 213-489-1600		<b>Fax</b> 949-567-6600 OR 213-955-0440	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.					
<b>NAME OF FIRST OR SOLE INVENTOR:</b>			<input type="checkbox"/> A petition has been filed for this unsigned inventor		
<b>Given Name</b> (first and middle [if any]) Ying Wen			<b>Family Name</b> or Surname Hsu		
<b>Inventor's Signature</b> *				<b>Date</b> March <u>16</u> , 2002	
<b>Residence: City</b> Huntington Beach		<b>State</b> CA	<b>Country</b> USA		<b>Citizenship</b> USA
<b>Mailing Address</b> 6455 Frampton Circle					
<b>City</b> Huntington Beach		<b>State</b> CA	<b>ZIP</b> 92648	<b>Country</b> USA	
<b>NAME OF SECOND INVENTOR:</b>			<input type="checkbox"/> A petition has been filed for this unsigned inventor		
<b>Given Name</b> (first and middle [if any]) Norlito			<b>Family Name</b> or Surname Baytan		
<b>Inventor's Signature</b> *				<b>Date</b> March <u>18</u> , 2002	
<b>Residence: City</b> Anaheim		<b>State</b> CA	<b>Country</b> USA		<b>Citizenship</b> USA
<b>Mailing Address</b> 2421 East Normandy Drive					
<b>City</b> Anaheim		<b>State</b> CA	<b>Zip</b> 92806	<b>Country</b> United States of America	
<b>NAME OF THIRD INVENTOR:</b>			<input type="checkbox"/> A petition has been filed for this unsigned inventor		
<b>Given Name</b> (first and middle [if any]) Shauhwa			<b>Family Name</b> or Surname Cuan		
<b>Inventor's Signature</b> *				<b>Date</b> March <u>16</u> , 2002	
<b>Residence: City</b> Irvine		<b>State</b> CA	<b>Country</b> USA		<b>Citizenship</b> USA
<b>Mailing Address</b> 31 Preston					
<b>City</b> Irvine		<b>State</b> CA	<b>Zip</b> 92618	<b>Country</b> United States of America	



UNITED STATES  
PATENT AND  
TRADEMARK OFFICE

JULY 15, 2002

PTAS

Chief Information Officer  
Washington, DC 20231  
www.uspto.gov

LYON & LYON LLP  
DAVID E. WANG  
633 WEST FIFTH STREET, SUITE 4700  
LOS ANGELES, CA 90071-2066



\*102090155A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/09/2002

REEL/FRAME: 012880/0720  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

HSU, YING WEN

DOC DATE: 03/16/2002

ASSIGNOR:

BAYTAN, NORLITO

DOC DATE: 03/18/2002

ASSIGNOR:

CUAN, SHAUHWA

DOC DATE: 03/16/2002

ASSIGNEE:

NEWPORT OPTICOM, INC.  
4910 BIRCH STREET  
NEWPORT BEACH, CALIFORNIA 92660

SERIAL NUMBER: 10072629

PATENT NUMBER:

FILING DATE: 02/08/2002

ISSUE DATE:

RECEIVED

JUL 19 2002

U.S. PROSECUTION

012880/0720 PAGE 2

TARA WASHINGTON, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

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EET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Docket No. 270/096

102090155

To the Honorable Commissioner of Patents and Trademarks, Patent and Trademark Office, for the enclosed original documents or copy thereof.

## 1. Name of conveying party(ies):

Ying Wen Hsu, Norlito Baytan, and Shauhwa Cuan

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ OtherExecution Date: March 16, 2002 & March 18, 2002

## 2. Name and address of receiving party:

Name: Newport Opticom, Inc.

Internal Address:

City: Newport Beach State: CA Zip: 92660Street Address: 4910 Birch StreetCity: Newport Beach State: CA Zip: 92660Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 10/072,629

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: DAVID E. WANGInternal Address: LYON & LYON LLP633 West Fifth Street, Suite 4700Los Angeles, CA 90071-20666. Total number of applications and patents involved: one

## 7. Total fee (37 CFR 3.41):

\$ 40.00

☒ Enclosed on Amendment Transmittal sheet.☐ Charge this Deposit Account if any additional fee is required8. Deposit Account Number: 12-2475

## DO NOT USE THIS SPACE

## 9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David E. Wang, Reg No. 38,358Date: April 30, 2002Total number of pages including cover sheet: Four

OMB No. 0651-0011 (exp. 4/94)

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Mail documents to be recorded with required cover sheet information to:

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ASSIGNMENT OF PATENT APPLICATION

WHEREAS, WE, YING WEN HSU, NORLITO BAYTAN, and SHAUHWAN CUAN, all citizens of THE UNITED STATES OF AMERICA (hereinafter referred to as "ASSIGNORS"), have invented a certain invention entitled STRUCTURES THAT CORRECT FOR THERMAL DISTORTION IN AN OPTICAL DEVICE FORMED OF THERMALLY DISSIMILAR MATERIALS for which application for Letters Patent of the United States of America has been filed on February 8, 2002, and assigned Serial No. 10/072,629; and

WHEREAS, NEWPORT OPTICOM, INC., a corporation organized and existing under and by virtue of the laws of the State of Delaware and having its place of business at 4910 Birch Street, Newport Beach, California 92660 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNORS hereby authorize and request the United States Commissioner of Patents and Trademarks and any officials of foreign



WITNESS my hand at Newport Beach, California, this \*18 day of March, 2002.

x   
Norlito Baytan

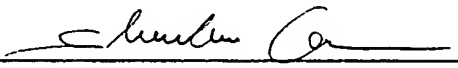
STATE OF CALIFORNIA            )  
  ) ss  
COUNTY OF ORANGE            )

On \_\_\_\_\_ before me, \_\_\_\_\_, personally appeared  
NORLITO BAYTAN ☐ personally known to me - **OR** - ☐ proved to me on the basis of  
satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument  
and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies),  
and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of  
which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Public in and for said County and State

WITNESS my hand at Newport Beach, California, this \*16 day of March, 2002.

x   
Shauhwa Cuan

STATE OF CALIFORNIA            )  
  ) ss  
COUNTY OF ORANGE            )

On \_\_\_\_\_ before me, \_\_\_\_\_, personally appeared  
SHAUHWHA CUAN ☐ personally known to me - **OR** - ☐ proved to me on the basis of satisfactory  
evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and  
acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and  
that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which  
the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Public in and for said County and State



Please type a plus sign (+) inside this box → +

PTO/SB/81 (02-01)  
Approved for use through 10/31/2002. OMB 0651-0035  
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# **POWER OF ATTORNEY OR AUTHORIZATION OF AGENT**

<b>Application Number</b>	10/072,629
<b>Filing Date</b>	February 8, 2002
<b>First Named Inventor</b>	Ying Wen Hsu et al.
<b>Group Art Unit</b>	Unknown
<b>Examiner Name</b>	Unknown
<b>Attorney Docket Number</b>	270/096

I hereby appoint:

☒ Practitioners at Customer Number

22249



22249

☒ Please direct correspondence to practitioner(s) named below:

Name	Registration Number
David E. Wang	38,358

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number

22249

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Number Bar Code  
Label here

☒ Firm or  
Individual Name

Lyon & Lyon, LLP

Address

Suite 4700

Address

633 West Fifth Street

City

Los Angeles

State

CA

ZIP

90071

Country

USA

Telephone

949-567-2300 or 213-489-1600

Fax

949-567-6600 or 213-955-0440

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

## **SIGNATURE of Applicant or Assignee of Record**

Name

NEWPORT OPTICOM, INC.

Signature

By: \*

Ying Wen Hsu, President

Date

March 16, 2002

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☐ \*Total of \_\_\_\_\_ forms are submitted.

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Newport Opticom, Inc.Application No./Patent No.: 10/072,629Filed/Issue Date: February 8, 2002Entitled: STRUCTURES THAT CORRECT FOR THERMAL DISTORTION IN AN OPTICAL DEVICE FORMED OF THERMALLY DISSIMILAR MATERIALSNewport Opticom, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

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The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

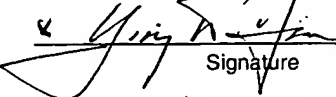
☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

**[NOTE:]** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

March 16, 2002  
Date

  
Signature

Ying Wen Hsu  
Typed or printed name

President

Title

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